DOCUMENT RESUME

ED 119 781 JC 760 174

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TITLE Records Retention Manual.
INSTITUTION Long Beach City Coll., Calif.
PUB DATE Sep 75
NOTE 43p.

EDRS PRICE MF-$0.83 HC-$2.06 Plus Postage
DESCRIPTORS Academic Records; *Administrative Policy; Community Colleges; *Educational Legislation; Information Storage; *Junior Colleges; Legal Responsibility; *Manuals; Recordkeeping; State Legislation; *Student Records
IDENTIFIERS *California; Long Beach Community College District

ABSTRACT

This manual is a compilation of information from the Government Code, the Education Code, and the Administrative Code, Title 5, of the State of California. It is designed as a reliable source of information to enable the Long Beach Community College District to develop an effective system of forms control and limit the number of documents currently maintained. The principal objectives in developing procedures for record retention and destruction include: (1) the orderly preservation of records having long-term permanent worth as determined by legal requirements; (2) the systematic retirement and transfer of those records to more economical storage; and (3) the orderly and prompt destruction of temporary records as they outlive their usefulness. The manual includes recommended retention schedules for the offices of Admissions, Records, and Registration. Forms used at the Long Beach Community College District offices and the full texts of the pertinent legal provisions are appended. (Author/DC)

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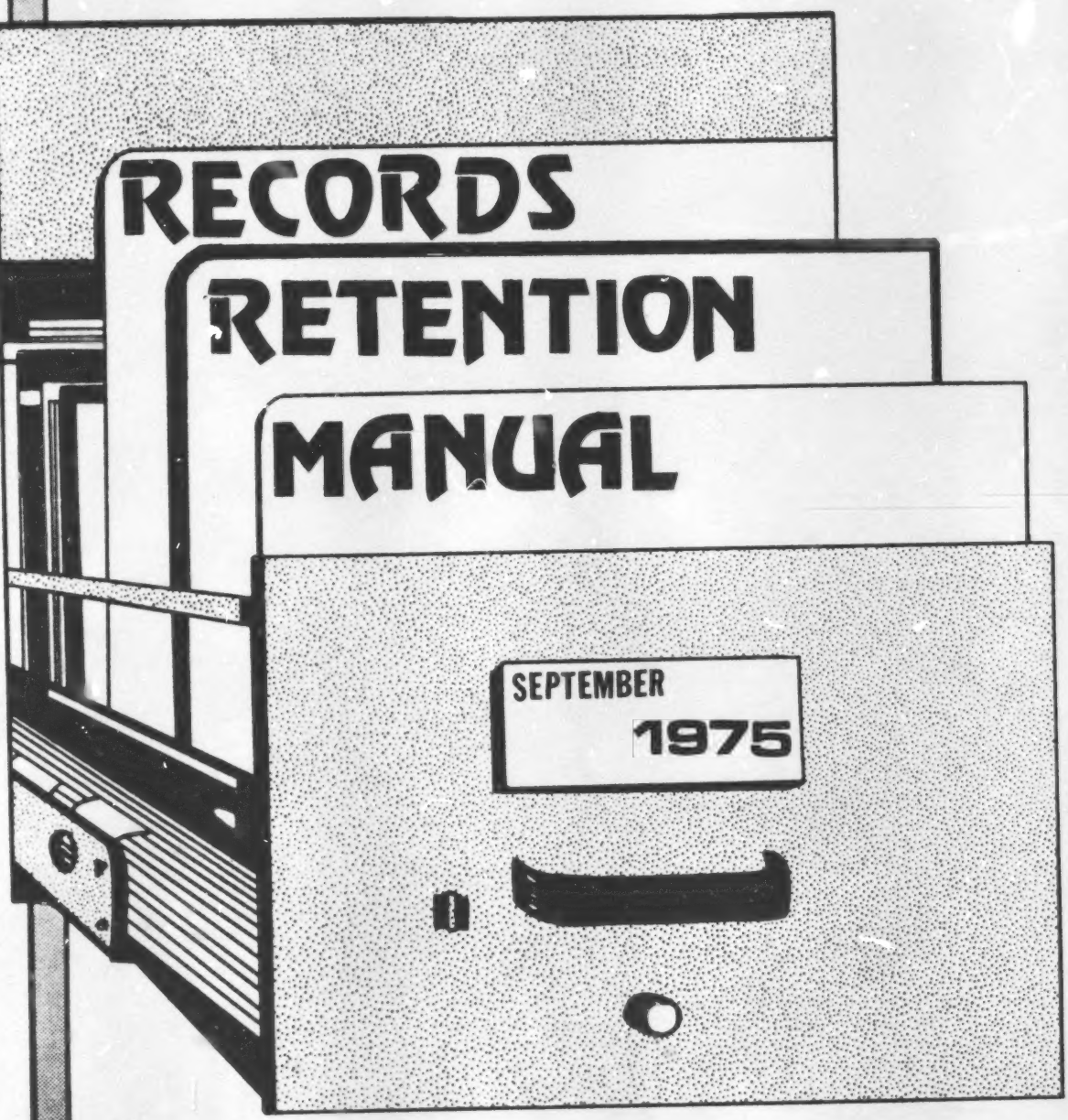
# RECORDS RETENTION MANUAL

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LONG BEACH COMMUNITY COLLEGE DISTRICT
LONG BEACH CITY COLLEGE
LIBERAL ARTS CAMPUS
4901 EAST CARSON STREET
LONG BEACH, CALIFORNIA 90808

# RECORDS RETENTION MANUAL

For The

Offices Of

ADMISSIONS, RECORDS,

AND

REGISTRATION

Long Beach Community College District
Long Beach City College
4901 East Carson Street
Long Beach, California 90808

CONTENTS


Preface . . . . . 2

Preliminary Preparation . . . . . 3

Record Retention Schedule . . . . . 6

Summary of Records . . . . . 25

Class 1 - Permanent Records . . . . . 25

Class 2 - Optional Records . . . . . 25

Class 3 - Disposable Records . . . . . 26

Class 4 - Disposable Records - - No Retention . 28

Forms . . . . . 30

Legal Provisions . . . . . 35

# PREFACE

This publication is a compilation of information from the Government Code, the Education Code, and the Administrative Code, Title 5 of the State of California.

The development of this Manual is designed to provide an effective system of forms control to enable the District to limit the number of documents currently maintained. The principal objectives in developing procedures for record retention and destruction include:

1. The orderly preservation of records having long-term permanent worth as determined by legal requirements.
2. The systematic retirement and transfer to more economical storage of those records.
3. The orderly and prompt destruction of temporary records as they outlive their usefulness.

This Manual includes all records under the jurisdiction of the Office of Admissions, Records, and Registration of Long Beach Community College District. It is suggested that other offices of the District may wish to follow this format in the development of their records retantion manuals.

Michael L. Maas
Dean, Admissions and Records
Long Beach Community College District

September 1975

# PRELIMINARY PREPARATION

## PREPARATORY STEPS

The following applicable legal provisions were reviewed: Education Code Sections 1034, 1035; California Administrative Code, Title 5, Sections 16020 to 16030; Government Code Sections 6200, 6201.

A preliminary study was made of applicable board policies and administrative procedures already existing, amount of records on hand, probable personnel requirements to establish and maintain procedures, physical facilities available for storage of records, and establishment of a schedule for accomplishing the tasks involved.

## CLASSIFICATION OF RECORDS

The Dean of Admissions and Records shall be the person responsible for classifying all records pertaining to admissions, records, and registration into the following classifications (California Administrative Code, Title 5, Sections 16020-16030.)

Class 1 - Permanent Records. As defined in Section 16023. Originals or microfilm or exact copies must be retained indefinitely.

Class 2 - Optional Records. Not required by law to be retained permanently but deemed worthy of further preservation as specified in Section 16024.

Class 3 - Disposable Records. Required retention periods and procedures for destruction or transfer of records are specified in Section 16025.

Class 4 - Disposable Records. Records which have no required retention periods. Records which are not specified in Sections 16024 or 16025 of the California Administrative Code, Title 5.

CLASSIFICATION OF RECORDS (continued)

Since the required retention period for some records is dependent upon the date of the applicable audit, the varying audit practices of federal and state agencies must be considered.

Each fiscal year, the Dean of Admissions and Records shall classify every prior year record before the close of the calendar year on December 31. The retention period for Class 3 records shall be designated and such records shall be physically segregated by the fiscal year in which they are scheduled for destruction. In the inventory process, those carbons or other copies which are no longer useful to the college except one copy of an original required by law to be filed with another agency may be destroyed without making an inventory record.

DESTRUCTION OF RECORDS

A list of all Class 3 records which have been held for the required retention periods, and a separate list of any permanent records which have been classified as Class 3 after having been microfilmed and held for the required retention period must be sent by the college district's superintendent to the Historian, State Archives, Office of the Secretary of State, Sacramento, California and to the governing board together with his recommendation for destruction or transfer (California Administrative Code, Title 5, Sections 16020-16030.)

Action of the governing board to approve the destruction of records or their transfer to the State Archives must be recorded in the board minutes, and a list of such records should be certified to by the District employee who actually witnesses their destruction.

DESTRUCTION OF RECORDS (continued)

If, after sixty days, no response has been received from the Historian, the Records Officer may proceed to dispose of the records.

After destruction, a letter shall be sent to the Board of Education attesting to the fact that the documents have, indeed, been destroyed, and by what means (fire, shredding, pulping, etc.) (Form E)

All Class 4 records shall be destroyed at the discretion of the of the Dean of Admissions and Records. No documentation or state certification is required.

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Admissions

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| A-1 | Request for Letter of Acceptance (Early Release) | 3 | 3 | Retain in Student Folder |
| A-2 | Petition for Admission for Student Under Academic Suspension | 3 | 3 | Retain in Student Folder |
| A-3 | Request for Matriculation | 3 | 3 | Retain in Student Folder |
| A-4 | Application for Admission | 4 | 0 | Data in SMF |
| A-5 | Foreign Student Application Materials | 3 | 3 | Retain in Student Folder |
| A-6 | White Residence Status note for folder | 4 | 0 | Memo - Destroy at any time |
| A-7 | Status Card | 1 | P | Microfilm |
| A-8 | Statement of Residence | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated |
| A-9 | Non-registered Students Admission Records | 3 | 1 | Shall be destroyed after July 1, one year after the end of the fiscal year in which they originated |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Admissions

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| A-10 | Entrance Test Results | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in Student Folder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-1 | Request for Mailing of Transcript or Cumulative Record | 4 | 0 | LBUSD form. Retain until file is complete. |
| R-2 | Request for Transcript - Other Schools | 4 | 0 | Returned to us with transcript. Retain until file is complete. |
| R-3 | Interoffice Memo Requesting Transcript/Grade Slip | 4 | 0 | Memo - destroy at any time. |
| R-4 | Affidavit for Change of Name (Adult or Minor) | 3 | 3 | Retain in Student Folder. |
| R-5 | Affidavit of Care and Control | 3 | 3 | Retain in Student Folder. |
| R-6 | Affidavit of Self-Support | 3 | 3 | Retain in Student Folder. |
| R-7 | Program Card and Change of Program Card | 1 | P | Keep current and previous school year cards on file. Microfilm during the 2nd year after the school year in which they originate. |
| R-8 | Reinstatement Notice | 3 | 0 | Memo - destroy at any time. |
| R-9 | "Drop Memo" | 4 | 0 | Memo - destroy at any time. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-10 | Notification of Transfer | 4 | 0 | Memo - destroy at any time. |
| R-11 | Notification of Withdrawal | 4 | 0 | Memo - destroy at any time. |
| R-12 | Class Record (Roll Book) | 1 | P | Retain for 5 years after school year in which created. Microfilm after that period. |
| R-13 | Notice of Absence | 4 | 0 | Memo - destroy at any time. |
| R-14 | Verification of Attendance | 4 | 0 | Sent to requestor. |
| R-15 | Attendance Sheet (op-scan form), Supplemental Attendance Report, Attendance "chits" from Learning Centers, Lectures & Forums Attendance Reports & Stubs, etc. | 3 | 3 | Shall be destroyed during the third school year after the school year in which they originated. |
| R-16 | Grade Sheet (Op-scan form) & Supplemental Grade Report | 3 | 2 | Shall be destroyed July 1, two years after the end of the fiscal year in which they originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-17 | Grade Slip | | | |
| | a. Transcript Office Copy | 1 | P | Retain in file. Microfilm. |
| | b. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder (matriculated) or file (non-matriculated.) |
| | c. Government Desk Copy | 3 | 3 | Copy - may be destroyed at any time. |
| R-18 | Grade Mailer | 4 | 0 | Mailed to student. |
| R-19 | Petition for Change of Grade | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during the 3rd school year after the school year in which it originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-20 | Credit by Honors - Independent Study | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during the 3rd school year after the school year in which it originated. |
| R-21 | Credit by Advanced Placement Exam | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during 3rd school year after the school year in which it originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-22 | Credit by Examination | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during 3rd school year after the school year in which it originated. |
| R-23 | Change of Grade form (Instructor) | | | |
| | a. Records Office Copy | 3 | 3 | A continunig record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during 3rd school year after the school year in which it originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-24 | Record for the Make-up of Incomplete Grades<br>a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy (If student makes up the grade.) | 3 | 3 | Shall be destroyed during the 3rd school year after the school year in which it originated. |
| R-25 | Decision Letter to Student re Petition for Change of Grade | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-26 | Transcript Request | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated. |
| R-27 | Permanent Record (Transcript) | 1 | P | Microfilm. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-28 | Application for Graduation | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-29 | Decision Letter to Student re Application for Graduation | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-30 | Letter to Student re Removal From Graduation List | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-31 | Tentative Grade Check | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated. Retain in student folder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-32 | Report of Work in Progress | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated. Retain in student folder. |
| R-33 | Other Miscellaneous Reminders to Students re Graduation | 4 | 0 | Need not be retained. |
| R-34 | Verification of Military Service | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated. |
| R-35 | Request for Records Office Services | 4 | 0 | Memo - destroy at any time. |
| R-36 | Request for Transfer of Records | 4 | 0 | Memo - destroy at any time. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-37 | Individual Check on Grade/Attendance | 4 | 0 | Memo - destroy at any time. |
| R-38 | Notice Concerning Transcript of Record | 4 | 0 | Memo - destroy at any time. |
| R-39 | Notice to Student | 4 | 0 | Memo - destroy at any time. |
| R-40 | Interoffice Request for Transcript/Grade Slip | 4 | 0 | Memo - destroy at any time. |
| R-41 | Total To Date Corrections | 4 | 0 | Retain until verified in SMF. |
| R-42 | Exclusion Notice | 4 | 0 | Memo - destroy at any time. |
| R-43 | Change of Student Master Date Record | 4 | 0 | Memo - destroy at any time. |
| R-44 | P.E. Medical Exemption | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-45 | Test Record Data | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-46 | Appointment Sheet | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-47 | Refund of Nonresident Fee | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in "Refund" file. |
| R-48 | Request for Change of Address | | | |
| | a. Data Processing Copy | 4 | 0 | Copy - may be destroyed at any time. |
| | b. Transcript Office Copy | 4 | 0 | Copy - may be destroyed at any time. |
| | c. Library Copy | 4 | 0 | Copy - may be destroyed at any time. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-48 (cont'd.) | d. Records Office Copy | 3 | 3 | Shall be destroyed in the 3rd school year after the school year in which it originated. Retain in student folder. |
| R-49 | Interoffice Memo Correcting Grade Report | | | |
| | a. Records Office Copy | 3 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| | b. Transcript Office Copy | 3 | 3 | Shall be destroyed during the 3rd school year after the school year in which it originated. |
| R-50 | Graduation Program (edited) List of Graduates | 1 | P | Microfilm |
| R-51 | Academic Records from Other Institutions | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it was classified Class 3. Retain in student folder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-52 | Counseling Records | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-53 | Evaluations | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-54 | Miscellaneous Anecdotal Records | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-55 | Selective Service Forms | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-56 | Standardized Tests | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-57 | Veterans Certifications | 2 | 3 | A continuing record which shall not be destroyed until 3 years after it has been classified Class 3. Retain in student folder. |
| R-58 | Student Testing Answer Sheets | 3 | ½ | May destroy in six months. |
| R-59 | ATT 080 (CCAF 320 Summary) | 3 | 5 | Copy. A/R office not the principal holder. |
| R-60 | ATT 404 (Residence Code Rejection List) | 3 | 5 | Copy. A/R office not the principal holder. |
| R-61 | ATT 410 (Attendance - Other Districts) | 3 | 5 | Copy. A/R office not the principal holder. |
| R-62 | ATT 860 (WSCH By Class, Division, Department) | 3 | 5 | Copy. A/R office not the principal holder. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-63 | ATT 862 (WSCH By Division) | 3 | 5 | Copy. A/R office not the principal holder. |
| R-64 | ATT 076 (Close - Exception Listing) | 3 | 5 | Copy. A/R office not the principal holder. |
| R-65 | Diplomas | 2 | P | Keep unclaimed diplomas on file. |
| R-66 | CCAF-130 (Active Enrollment) | 2 | P | Microfilm 5 years after year in which it orginated. |
| R-67 | CCAF-131 (Sources of Graded Enrollment) | 2 | P | Microfilm 5 years after year in which it originated. |
| R-68 | OS-34(HEW Compliance Report) | 2 | P | Microfilm 5 years after year in which it originated. |
| R-69 | OE-2300-2.3 (Opening Fall Enrollment) | 2 | P | Microfilm 5 years after year in which it originated. |
| R-70 | OE-2300-2.8 (Residence and Migration of Students) | 2 | P | Microfilm 5 years after year in which it originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Records

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| R-71 | Attendance, Grade, and and Rollbook Bulletins | 2 | P | Retain master copy. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Registration

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| Rg-1 | Permit to Register | 4 | 0 | Temporary registration convenience. Destroy at any time. |
| Rg-2 | Course Request Op-scan Form | 4 | 0 | Destroy after 1st attendance cycle. |
| Rg-3 | Change of Program Op-scan Form | 4 | 0 | Destroy after 1st attendance cycle. |
| Rg-4 | Request for Appointment to Register Op-scan Form | 4 | 0 | Destroy after 1st attendance cycle. |
| Rg-5 | Petition to Register by Proxy. | 4 | 0 | Destroy after two semesters. |
| Rg-6 | Appointment Card - Mailer | 4 | 0 | Mailed to student. |
| Rg-7 | Interdistrict Attendance Agreements | 3 | 3 | Copy. |
| Rg-8 | Interdistrict Permits issued by LBCCD | 3 | 3 | Not to be destroyed until 3 years after the school year in which it originated. |

RECOMMENDED
RECORD RETENTION SCHEDULE

OFFICE: Registration

| Form or Document Number | Record, Title & Description | Classification | Retention Period | Comments |
|---|---|---|---|---|
| Rg-9 | Interdistrict Permits Received From Other Districts | 3 | 3 | Not to be destroyed until 3 years after the school year in which it originated. |
| Rg-10 | Application for Interdistrict Permit | 3 | 3 | Not to be destroyed until 3 years after the school year in which it originated. |

Class 1 - Permanent Records

Class Record (Roll Book) . . . . . R-12

Grade Slip
a. Transcript Office Copy . . . . . R-17

Graduation Program (edited) - List of Graduates . R-50

Permanent Record (Transcript) . . . . . R-27

Program Card and Change of Program Card . . . . R-7

Status Card . . . . . A-7

Class 2 - Optional Records

Academic Records from Other Institutions . . . . R-51

Attendance, Grade, and Rollbook Bulletins . . . R-71

CCAF-130 (Active Enrollment) . . . . . R-66

CCAF-131 (Sources of Graded Enrollment) . . . . R-67

Counseling Records . . . . . R-52

Diplomas . . . . . R-65

Evaluations . . . . . R-53

Miscellaneous Anecdotal Records . . . . . R-54

OE-2300-2.3 (Opening Fall Enrollment) . . . . . R-69

OE-2300-2.8 (Residence and Migration of Students . R-70

OS-34 (Hew Compliance Report). . . . . R-68

Selective Service Forms. . . . . R-55

Standardized Tests. . . . . R-56

Veterans Certifications . . . . . R-57

Class 3 - Disposable Records

Affidavit of Care and Control . . . . . R-5

Affidavit for Change of Name (Adult or Minor). . . R-4

Affidavit of Self-Support . . . . . R-6

Application for Graduation . . . . . R-28

Application for Inter-district Permit . . . . . Rg-10

Appointment Sheet. . . . . R-46

ATT 076 (Close - Exception Listing). . . . . R-64

ATT 080 (CCAF 320 Summary). . . . . R-59

ATT 404 (Residence Code Rejection List) . . . . R-60

ATT 410 (Attendance - Other Districts) . . . . R-61

ATT 860(WSCH By Class, Division, Department). . . R-62

ATT 862 (WSCH By Division). . . . . R-63

Attendance Sheet (op-scan form), Supplemental Attendance Report, Attendance "chits" from Learning Centers, Lectures & Forums Attendance Reports & Stubs, etc. R-15

Change of Grade form (Instructor)
a. Records Office Copy
b. Transcript Office Copy. . . . . R-23

Credit by Advanced Placement Exam
a. Records Office Copy
b. Transcript Office Copy. . . . . R-21

Credit by Examination
a. Records Office Copy
b. Transcript Office Copy. . . . . R-22

Credit by Honors - Independent Study
a. Records Office Copy
b. Transcript Office Copy. . . . . R-20

Decision Letter to Student re Application for Graduation . . . . . R-29

Decision Letter to Student re Petition for Change of Grade. . . . . R-25

Entrance Test Results . . . . . A-10

Class 3 - Disposable Records

Foreign Student Application Materials . . . . . A-5

Grade Sheet (Op-scan form) & Supplemental Grade Report . . . . . R-16

Grade Slip
b. Records Office Copy
c. Government Desk Copy . . . . . R-17

Interdistrict Attendance Agreements. . . . . Rg-7

Interdistrict Permits issued by LBCCD . . . . . Rg-8

Interdistrict Permits Received From Other Districts . Rg-9

Interoffice Memo Correcting Grade Report
a. Records Office Copy
b. Transcript Office Copy. . . . . R-49

Letter to Student re Removal From Graduation List . . R-30

Petition for Admission for Student Under Academic Suspension . . . . . A-2

Petition for Change of Grade
a. Records Office Copy
b. Transcript Office Copy. . . . . R-19

P.E. Medical Exemption . . . . . R-44

Record for the Make-up of Incomplete Grades
a. Records Office Copy
b. Transcript Office Copy (If student makes up the grade.) . . . . . R-24

Refund of Nonresident Fee . . . . . R-47

Reinstatement Notice. . . . . R-8

Report of Work in Progress. . . . . R-32

Request for Change of Address. . . . . R-48
d. Records Office Copy

Request for Letter of Acceptance (Early Release) A-1

Request for Matriculation . . . . . A-3

Statement of Residence . . . . . A-8

Class 3 - Disposable Records

Student Testing Answer Sheets . . . . . R-58

Tentative Grade Check. . . . . .R-31

Test Record Data . . . . . .R-45

Transcript Request. . . . . .R-26

Verification of Military Service
a. Records Office Copy
b. Transcript . . . . . .R-34

Class 4 - Disposable Records - No Retention

Application for Admission . . . . . A-4

Appointment Card - Mailer . . . . . .Rg-6

Change of Program Op-scan Form. . . . . .Rg-3

Change of Student Master Date Record . . . . .R-43

Course Request Op-scan Form. . . . . .Rg-2

"Drop Memo" . . . . . R-9

Exclusion Notice . . . . . .R-42

Grade Mailer. . . . . .R-18

Individual Check on Grade/Attendance. . . . . .R-37

Interoffice Memo Requesting Transcript/Grade Slip . R-3

Interoffice Request for Transcript/Grade Slip. . .R-40

Notice of Absence . . . . . .R-13

Notice Concerning Transcript of Record . . . . .R-38

Notice to Student . . . . . .R-39

Notification of Transfer. . . . . .R-10

Notification of Withdrawal . . . . . .R-11

Other Miscellaneous Reminders to Students re Graduation . . . . . .R-33

Permit to Register. . . . . .Rg-1

Petition to Register by Proxy . . . . . .Rg-5

Request for Appointment to Register Op-scan Form. .Rg-4

Class 4 - Disposable Records - No Retention

Request for Change of Address
a. Data Processing Copy
b. Transcript Office Copy
c. Library Copy . . . . . R-48

Request for Mailing of Transcript or Cumulative Record . . . . . R-1

Request for Records Office Services. . . . . R-35

Request for Transcript - Other Schools. . . . . R-2

Request for Transfer of Records . . . . . R-36

Total to Date Corrections . . . . . R-41

Verification of Attendance. . . . . R-14

White Residence Status note for folder. . . . . A-6

FORMS: The following pages contain the format of forms to be used for the storage and destruction of all records.

FORM A

STORAGE LABEL

Box No._____ Classification_____

Date_____

Contents:

Fiscal Year Item

Microfilmed: Yes____ No____

Date_____

To be destroyed_____
(60 days from above date)

District Record's Officer:

_____

FORM B

Date

Board of Education
Long Beach Community College District
Long Beach, California

Gentlemen:

The attached list of documents is considered to be Class 2. The Superintendent hereby requests permission to reclassify this list as Class 3 subsequent to submitting them for destruction.

These records have met the retention period requirements of Article 2, Sections 16023 through 16028 of Title V, Administrative Code, and are of no further use to the district.

_____
Records Officer

Board of Trustees Disposition

Date: _____

Disposition: _____

_____

(signature) _____
President
Board of Education

FORM C

Date

Board of Education
Long Beach Community College District
Long Beach, California

Gentlemen:

The attached list of documents is considered Class 3. These records have been retained for the legal period of time as per Article 2, Sections 16023 through 16028, of Title V, Administrative Code.

This list also contains Class 1 documents that have been microfilmed, and Class 2 documents that have been reclassified to Class 3 per letter to the Board of Education, dated _____.

There is no further need to retain these records for use in the district. The Superintendent requests permission to submit the list to the Historian, State Archives, for approval for destruction.

_____
Records Officer

Board of Education Disposition

Date: _____

Disposition: _____

_____
President, Superintendent

FORM D

Date

Historian, State Archives
Office of Secretary of State
Sacramento, California

Dear Sir:

The attached list of records contains Class 1 documents, which have been microfilmed, and Class 3 documents in accordance with Section 16022 (e) of the California Administrative Code. The records have met the retention requirements, and are no longer necessary for the operation of the school district.

The Board of Education of the Long Beach Community College District has authorized the Superintendent to destroy these records if, within 60 days, you do not request their transfer to your archives.

I further certify that no records are included in the list in conflict with regulations as outlined in Title V, Section 16023 through 16028, Administrative Code.

I await your instruction regarding disposal of these records.

Sincerely yours,

_____

Records Officer

FORM E

Date

(Superintendent)
Long Beach Community College District
Long Beach, California

Dear Sir:

The attached list of documents, listed on pages_____ to_____, has been submitted to the Historian, State Archives, for release for destruction. The Historian has released them for destruction per attached letter dated_____.

I have, as appointed officer for the district, observed their destruction on _____.
(date)

(signature)_____
Records Officer

# LEGAL PROVISIONS

## Government Code

6200. Chapter 3. Crimes Relating to Public Records, Documents, and Certificates. Every officer having the custody of any record, map, book, or of any paper or proceeding of any court, filed or deposited in any public office, or placed in his hands for any purpose, who is guilty of stealing, willfully destroying, mutilating, defacing, altering or falsifying, removing or secreting the whole or any part of such record, map, book, paper, or proceeding, or who permits any other person to do so is punishable by imprisonment in the State prison not less than one nor more than 14 years.

6201. Every person not an officer referred to in Section 6200, who is guilty of any of the acts specified in that section, is punishable by imprisonment in the State prison not exceeding five years, or in a county jail not exceeding one year, or by a fine not exceeding one hundred dollars ($100), or by both such fine and imprisonment.

## Education Code

1034. Whenever the destruction of records of a district is not otherwise authorized or provided for by law, the governing board of the district may destroy such records of the district in accordance with regulations of the Superintendent of Public Instruction which he is herewith authorized to adopt.

1035. The governing board of any school district may make microfilm or photographic copies of any records of the district. The original of any records of which a photographic or microfilm copy has been made may be destroyed when provision is made for permanently maintaining such photographic or microfilm copies in the files of the district, except that no original record that is basic to any required audit shall be destroyed prior to the second July 1st succeding the completion of the audit.

## California Administrative Code, Title 5.

Applicable sections from the California Administrative Code, Title 5, Education, are reproduced on the following pages.

(Register 71, No. 8—2-20-71)

## CHAPTER 2. DESTRUCTION OF RECORDS OF SCHOOL DISTRICTS


Article
1. General Provisions
2. Period of Retention
3. Steps in Destruction

Detailed Analysis

Article 1. General Provisions

Section
16020. Definition of Records
16021. Scope of Chapter
16022. Classification of Records

Article 2. Period of Retention

Section
16023. Class 1—Permanent Records
16024. Class 2—Optional Records
16025. Class 3—Disposable Records
16026. Retention Period
16027. Destruction of Records
16028. Transfer of Records

Article 3. Steps in Destruction

Section
16029. Superintendent Actions
16030. Board Action


### Article 1. General Provisions

**16020. Definition of Records.** (a) As used in this article, "records" means all records, maps, books, papers, and documents of a school district required by law to be prepared or retained or which are prepared or retained as necessary or convenient to the discharge of official duty.

(b) The following documents are not "records" and may be destroyed at any time:

(1) Mimeographed, otherwise duplicated, or carbon copies, except the original or carbon copy. (A person receiving a duplicated copy need not retain it.)

(2) Any pupil pass, tardy slip, admit slip, verification of illness or other note from home relating to a pupil.

(3) An individual memorandum, other than one relating to personnel matters, between one employee and another employee of the district.

(4) Notices of meetings.

(5) Advertisements and other sales material received.

(6) Library books, pamphlets, and magazines.

(7) Textbooks, maps used for instruction, and other instructional materials.

NOTE: Authority cited for Chapter 2: Section 1034, Education Code, Issuing agency: Superintendent of Public Instruction.

*History:* 1. New Chapter 2 (††16020—16030) filed 2-24-70; effective thirtieth day thereafter (Register 70. No. 9).

2. Amendment of subsection (b) (2) filed 2-18-71; effective thirtieth day thereafter (Register 71. No. 8).

**16021. Scope of Chapter.** Records shall be retained, transferred or destroyed only as provided in this chapter.

**16022. Classification of Records.** (a) **Prior Year Records.** Before January 1, the district superintendent (or a person designated in the minutes of a district not employing a superintendent) shall review documents and papers originating during the prior school year and classify them as Class 1—Permanent, Class 2—Optional, or Class 3—Disposable.

(b) **Records Not Classified Before July 1, 1969.** All records not classified prior to July 1, 1969, are subject to the same review and classification as in (a). If such records are three or more years old and classified as Class 3—Disposable they may be destroyed without further delay, but in accordance with Article 3.

(c) **Current Year Records.** Records originating during a current school year shall not be classified during that year.

(d) **Continuing Records.** Records of a continuing nature, i.e., active and useful for administrative, legal, fiscal, or other purposes over a period of years, shall not be classified until such usefulness has ceased. A pupil's cumulative record, if not transferred, is a continuing record until the pupil ceases to be enrolled in the district.

(e) **Microfilm Copy.** Whenever an original record is photographed, microphotographed, or otherwise reproduced on film, the copy thus made is hereby classified as Class 1—Permanent. The original record, unless classified as Class 2—Optional, may be classified as Class 3—Disposable and may then be destroyed in accordance with this chapter if the following conditions have been met:

(1) The reproduction was accurate in detail and on film of a type approved for permanent, photographic records by the United States Bureau of Standards.

(2) The superintendent has attached to or incorporated in the microfilm copy his signed and dated certification of compliance with the provisions of Section 1531 of the Evidence Code.

(3) The microfilm copy was placed in a conveniently accessible file, and provision was made for preserving permanently, examining and using same.

Article 2. Period of Retention

**16023. Class 1—Permanent Records.** The original of each of the records listed in this section, or one exact copy thereof when the original is required by law to be filed with another agency, is a Class 1—Permanent record and shall be retained indefinitely, unless microfilmed in accordance with Section 16022 (e).

(a) **Annual Reports.**

(1) Official budget.

(2) Financial report of all funds, including cafeteria and student body funds.

(3) Audit of all funds.

(4) Average daily attendance, including Period 1 and Period 2 reports.

(5) Other major annual reports, including:

(A) Those containing information relating to property, activities, financial condition, or transactions.

(B) Those declared by board minutes to be permanent.

(b) **Official Actions.**

(1) **Minutes of the Board or Committees Thereof,** including the text of a rule, regulation, policy, or resolution not set forth verbatim in the minutes but included therein by reference only.

(2) **Elections,** including the call, if any, for and the result (but not including detail documents, such as ballots) of an election called, conducted or canvassed by the governing board for a board member, his recall, issuance of bonds, incurring any long-term liability, change in maximum tax rates, reorganization, or any other purpose.

(3) **Records transmitted** by another agency that pertain to that agency's action with respect to district reorganization.

(c) **Personnel Records.**

(1) **Employees.** All detail records relating to employment, assignment, amounts and dates of service rendered, termination or dismissal of an employee in any position, sick leave record, rate of compensation, salaries or wages paid, deductions or withholdings made and the person or agency to whom such amounts were paid. In lieu of the detail records, a complete proven summary payroll record for every employee of the school district containing the same data may be classified as Class 1—Permanent, and the detail records may then be classified as Class 3—Disposable.

(2) **Pupils.**

(A) The records of enrollment and scholarship for each pupil required by Section 431.

(B) All records pertaining to any accident or injury involving a minor for which a claim for damages has been filed as required by law, including any policy of liability insurance relating thereto, except that these records cease to be Class 1—Permanent records one year after the claim has been settled or the statute of limitations has run.

(d) **Property Records.** All detail records relating to land, buildings, and equipment. In lieu of such detail records, a complete property ledger may be classified as Class 1—Permanent, and the detail records may then be classified as Class 3—Disposable, if the property ledger includes:

(1) All fixed assets.

(2) An equipment inventory.

(3) For each unit of property, the date of acquisition or augmentation, the person from whom acquired, an adequate description or identification, and the amount paid, and comparable data if the unit is disposed of by sale, loss, or otherwise.

**16024. Class 2—Optional Records.** Any record worthy of further preservation but not classified as Class 1—Permanent may be classified as Class 2—Optional and shall then be retained until reclassified as Class 3—Disposable. If the superintendent and governing board agree that classification should not be made by the time specified in Section 16022, all records of the prior year may be classified as Class 2—Optional pending further review and classification within one year.

**16025. Class 3—Disposable Records.** All records not classified as Class 1—Permanent or Class 2—Optional shall be classified as Class 3—Disposable, including but not limited to detail records relating to:

(a) **Records Basic to Audit,** including those relating to attendance, average daily attendance, or a business or financial transaction (Purchase orders, invoices, warrants, ledger sheets, cancelled checks records used in the preparation of any other report. Teachers' registers may be classified as Class 3—Disposable only if all information required in Section 431 is retained in other records or if the General Record pages are removed from the register and are classified as Class 1—Permanent.

(b) **Periodic Reports,** including daily, weekly, and monthly reports, bulletins and instructions.

*History:* Repealer of subsection (c) filed 2-18-71; effective thirtieth day thereafter (Register 71, No. 8).

**16026. Retention Period.** A Class 3—Disposable record shall not be destroyed until after the second July 1 succeeding the completion of the audit required by Education Code Section 17206 or of any other legally required audit, or after the ending date of any retention period required by any agency other than the State of California, whichever date is later.

A continuing record shall not be destroyed until the third year after it has been classified as Class 3—Disposable.

**16027. Destruction of Records.** Unless otherwise specified in this chapter, all Class 3—Disposable records shall be destroyed during the third school year after the school year in which they originated (e.g., 1966-67 plus 3=1969-70).

**16028. Transfer of Records.** The only records that may be transferred are:

(a) **Cumulative Records.** A pupil's cumulative record may be transferred in accordance with Section 437.

The items of information required to be kept permanently by Section 431 shall be included, by copy or otherwise, in the cumulative record when it is transferred, but the record of such items shall also be retained in the district.

(b) **Record of Enrollment and Scholarship.** Records specified in Section 431 may be transferred to the office of the principal of any new school upon discontinuance of a school or to the central office of the district.

(c) **Class 3—Disposable Record.** Any Class 3—Disposable record requested by the Historian of the State Archives shall be transferred to him.

Article 3. Steps in Destruction

**16029. Superintendent Actions.** (a) **Classification.** The superintendent shall personally supervise the classification of records. He shall be responsible for, but he may delegate to any person, any other duties described in (b).

(b) **Listing.** The superintendent shall:

(1) Classify each record.

(2) Mark each file or other container as to class and the school year in which the records originated. If the records are classified as Class 3—Disposable, he shall also mark the school year in which they are to be destroyed.

(3) List for each class, by year, the general description and approximate number of items of each kind.

(4) Place a copy of the appropriate list in each container, as well as in the current or continuing file.

(5) At least 60 days before the date of proposed destruction, send a copy of the list of Class 3—Disposable records to the Historian, State Archives, Office of the Secretary of State, Sacramento, California.

(6) At the same time, submit to the governing board one copy of the list for each class and certify that no records are included in the lists in conflict with these regulations.

(7) Recommend that listed records in each class be retained, transferred to the State Historian, if requested, or destroyed as provided in this chapter.

(8) Retain, transfer to the State Historian, or destroy records only as approved and ordered in the minutes of the governing board.

**16030. Board Action.** The governing board shall:

(a) Approve or disapprove the recommendation of the Superintendent.

(b) Order a reclassification when necessary or desirable.

(c) Order by action recorded in the minutes (with lists attached), the retention, transfer to the State Historian, or destruction of records in accordance with these regulations.

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